

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : David Lowell McNeely
Serial No. : 09/415,654
Filed : October 12, 1999
For : A SAMPLED DATA DIGITAL FILTERING
SYSTEM
Art Unit : 2634
Examiner : L. B. Williams

4/16

INFORMATION DISCLOSURE STATEMENT

- ☐ 1 Pursuant to 37 CFR 1.97(b)
[within 3 months of filing or prior to 1st Office Action]
☐ 2 Certification Pursuant to 37 CFR 1.97(c)
[before Final Office Action or Allowance]
☒ 3 Fee Payment Pursuant to 37 CFR 1.97(c)
[before Final Office Action or Allowance]
☐ 4 Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97(d)
[before issue fee payment]

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The following are submitted in the above-identified application in compliance with 37 CFR 1.97 & 1.98:

- ☒ 5 A list of documents on form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This paper is submitted in accordance with:

- ☐ 6 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
☒ 7 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and
☐ 8 The required certification made in item 11 below; or
☒ 9 The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
☐ 10 37 CFR § 1.97(d): [before issue fee payment]; and
(a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to "Attention PETITIONS EXAMINER" and if applicable include batch locator information: e.g., "Allowed Files, Batch __, Date of Allowance ____"), and
(b) The required Certification is stated in item 11 below.

☐ 11 Certification

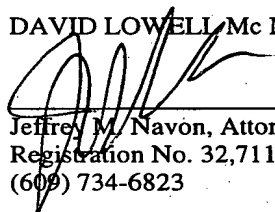
- ☐ 12 Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.

- ☒ 14 Please charge the applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0832. An original and one (1) copy of this document is enclosed.

Respectfully Submitted,

DAVID LOWELL Mc NEELY

BY:


Jeffrey M. Navon, Attorney
Registration No. 32,711
(609) 734-6823

Thomson Licensing Inc.
Patent Operations
P. O. Box 5312
Princeton, New Jersey 08543-5312

Enclosures

June 30, 2004

Certificate Of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service as first-class mail in a postage-paid envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date indicated below.

Date:

June 30, 2004

Signature


Patricia M. Fedorowycz

CUSTOMER NO. 24498

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97 (Use several sheets if necessary)				ATTY. DOCKET NO. RCA 89,830		SERIAL NO. 09/ 415,654	
				APPLICANT David Lowell McNeely			
				FILING DATE October 12, 1999		GROUP 2634	

U.S. PATENT DOCUMENTS							
EXAMINE INITIAL	DOCUMENT NUMBER	ISSUE DATE	APPLICANT/PATENTEE	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE	
AA	4,745,462	05/17/88	R. A. Dischert et al.	358	21R		
AB	5,784,378	07/21/98	B. P. Murray et al.	370	498		
AC							
AD							
AE							
AF							
AG							
AH							
AI							

FOREIGN PATENT DOCUMENTS							
	DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION Yes No	
AL							
AM							
AN							
AO							
AP							
AQ							

OTHER INFORMATION (Including Author, Title, Pub.Date, Pertinent Pages, Country, Etc.)		
AR		"Mirror-Image Symmetric Perfect-Reconstruction FIR Filter Banks: Parametrization and Design", Kofidis E. et al., SIGNAL PROCESSING, AMSTERDAM, NL, vol. 68, no. 1, 20 July 1998, pp. 1-21.
AS		"A Generalized Structural Subband Decomposition of FIR Filters and its Application in Efficient FIR Filter Design and Implementation", Sanjit K. Mitra et al., IEEE Transactions on Circuits and Systems II: Analog and Digital Signal Processing, IEEE Inc., New York, US, vol. 40, no. 6, 1 June 1993, pages 363-374.
AT		"Pre-Interpolation Filters for Upsampling", Miao, G. J. et al., Motorola Technical Developments, Motorola Inc., Schaumburg, Illinois, US, vol. 34, 1 March 1998, pages 141-144.
AU		"Adaptive FIR Filter Structure Based on the Generalized Subband Decomposition of FIR Filters", Petraglia, M. R. et al., IEEE Transactions on Circuits and Systems II: Analog and Digital Signal Processing, IEEE Inc., New York, US, vol. 40, no. 6, 1 June 1993, pages 354-362
AV		(European Search Report dated January 28, 2002 & Chinese Office Action dated March 2, 2004, both enclosed.)

EXAMINER	DATE CONSIDERED
SUBMITTED BY:	REG. NO.:
Jeffrey M. Navon	32,711
	DATE:
	June 30, 2004

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/17 (10-03)
 Approved for use through 07/31/2006. OMB 0651-0032
 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180

Complete if Known

Application Number 09/415,654
 Filing Date October 12, 1999
 First Named Inventor David Lowell McNeely
 Examiner Name Lawrence B. Williams
 Art Unit 2634
 Attorney Docket No. RCA 89,830 CUSTOMER NO. 24498

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 07-0832

Deposit Account Name Thomson Licensing Inc.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ 0)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		-20 **	=	0	X	Fee from below	=	0
Independent Claims		-3 **	=	0	X		=	0
Multiple Dependent					X		=	0

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$ 0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type) JEFFREY M. NAVON Registration No. (Attorney/Agent) 32,711 Telephone (609) 734-6823
 Signature *Jeffrey M. Navon* Date June 30, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

CUSTOMER NO.: 24498

Docket No. RCA 89,830

Inventor(s) David Lowell McNeely

Title: A SAMPLED DATA DIGITAL FILTERING SYSTEM

Serial No. 09/415,654

Filed: October 12, 1999

Patent No.

Atty/Agent: Jeffrey M. Navon/pdf

ATTN: MAIL STOP

AMENDMENT

APPLICATION AS FILED

Enter Date	Enter Number	Check Type	Check Items Mailed with Application
005M	Independent Claims	<input type="checkbox"/>	Declaration
	Claims in Excess 20	<input type="checkbox"/>	Statement under CFR § 1.56-013M
	Claim Pages	<input type="checkbox"/>	Assignment & Recordation Sheet
	Specification Pages	<input type="checkbox"/>	090M Prelim. Amendment
	Sheets of Drawings	<input type="checkbox"/>	Priority Document
	Abstract Pages	<input type="checkbox"/>	13M IDS with SIX References
		<input type="checkbox"/>	Fee Transmittal
		<input type="checkbox"/>	Other:
Charge			
	AMENDMENTS	Mailed	APPEALS
	008M After Rejection		032 Notice of Appeals
	012M After Final Rejection		037M Appeal Brief
	019M After Allowance UPR312		039M Reply Brief
	083M Supplemental		133M Pet. To Withdraw.
	090M Voluntary		REQUESTS
	079M Dwg. Correction(s)		009M Ext. Time \$1.136(b)
	Page(s) of Drawing(s)		076M Cert. Corr.
	OTHER		OTHER
	007M Lic. To For. File		027M Statement NASA
	126M Reg. Priority 35USC119		086M Term. Disclaimer
	131M Statement DOE		064M Claim Disclaimer
	013M Statement under §1.56		082M Status Letter
06/30/04	013M IDS with references**		084M Declaration
06/30/04	Certificate of Mailing		084M Supp. Declaration
	Invitation to Correct		

Express Mail Application	Date Deposited:	Due	FEES
			006M Filing Fee Exp. Mail
			006M Filing Missing Parts
			021 Issue Fee
			009M Ext Time \$ 1.136(a)
			099M Add. Payment off Fee
			Fee Transmittal Form***
		Charge	Amount of Fee \$
			OTHER
			081M Appt. Atty/Agent
			063M Asgn & Rec. Form
			066M Letter to PO
			068M Notif. of For. Ref.
			066M Corr. Of Record
			M Please Specify:

** SUPPLEMENTAL IDS (with PTO-1449 attached); ***FEE SHEET & IDS IN DUPLICATE

BEST AVAILABLE COPY